



DIRECTOR'S POLICY #100-01

ESTABLISHING AND REVISING POLICIES AND RELATED PROCEDURES

Effective Date: April 4, 2006

Approved By:

Jay W. DeBoer

- I. **PURPOSE:** The purpose of this policy is to establish procedures for creating, revising, and rescinding Department of Professional and Occupational Regulation (DPOR) policy.
- II. **POLICY STATEMENT:** The Department's process for establishing new and revising existing policies shall integrate employee participation and peer group review, together with senior management approval. DPOR policies shall conform to all state and federal requirements and be accessible to all employees.
- III. **DEFINITIONS:**
- | | |
|--------|---|
| Policy | Overall plan or guiding principles intended to influence and determine present and future Department decisions. |
|--------|---|
- IV. **RELATED DOCUMENTS:** <I:\DPOR Policy Manual\Section 1 Director's Office\100-13 Establishing & Revising Procedures & Forms.pdf>
- V. **PROCEDURES:**
- A. **POLICY DIRECTOR AND POLICY REVIEW TEAM**
1. The DPOR Policy, Planning and Public Records Director (for the purposes of this policy referred to as the Policy Director) shall coordinate the Department's policy development activities and ensure that all policies comply with federal, state and Department directives.
 2. A Policy Review Team may be called upon to collaborate on substantive policy changes. Policy review meetings shall be scheduled at the Policy Director's discretion in order to solicit employee input and discuss any controversial policy issues. The Policy Review Team shall be appointed by Deputy and Division Directors to a one-year term, which will coincide with the agency's fiscal calendar. The Policy Director shall serve as the team leader. Two committee members shall be appointed from each of the following divisions:

Administration and Finance Division
Compliance and Investigations Division
Licensing and Regulation Division

One committee member shall be appointed from each of the following divisions:

Director's/Communications Office
Human Resources Office
Information Technology Section

B. CRITERIA FOR ESTABLISHING POLICY

DPOR policies shall meet at least one of the following criteria:

1. Address a critical issue within the Department.
2. Provide guidance to both internal and external stakeholders.
3. Have some foundation in laws or policies issued by a federal or state authority (e.g., Equal Employment Opportunity, State Travel Regulations, Virginia Freedom of Information Act, and Virginia Department of Human Resource Management Policies).

C. INITIATING POLICY CHANGES

1. The Director may request policy changes outside of the prescribed policy review procedures by submitting policy change requests directly to the Policy Director.
2. Any DPOR employee may request creation of a new policy as well as amendment to, or deletion of an existing policy. Prior to submitting a formal request, the employee is encouraged to discuss the proposed policy change with the supervising Deputy or Division Director.
3. Each policy submission should include:
 - a) A Request to Add, Amend or Delete a Department Policy Form available in the shared DPOR Forms folder ([I:\DPOR Forms\Policy Planning & Records\Policy Change Form.doc](#)) identifying the proposed policy change and the justification for the change.
 - b) New policies should be formatted according to the policy outline in Attachment A ([Attachment_A](#)). The requestor should e-mail an electronic copy of the policy with the completed change request form to the Policy Director.
 - c) Revisions to existing policies should be e-mailed with the suggested edits (underline new text and strikethrough text to be deleted) and a completed change request form to the Policy Director.

D. REVIEW PROCESS

1. Within 15 workdays of receiving a policy change request, the Policy Director shall review the proposed change to determine whether the change warrants consideration by the Policy Review Team. Policy changes shall be handled outside of the prescribed policy review procedures when team review would be unnecessary given the nature of the change (i.e., to correct typographical errors, changes in section/position names, changes to ensure compliance with changes in state policy, etc.). The Policy Director shall determine proper classification of the proposal (Department Policy or Department Procedure) according to section V.B ([V_B_CRITERIA](#)) of this policy.

2. Following the initial policy review, the proposal shall be posted for five workdays to provide employees with an opportunity to review and comment on the policy ([I:\DPOR Policy Manual\Proposed Policies](#)). The Policy Director shall notify all employees of its availability via e-mail. Employee comments shall be entered in the Employee Policy Review form accompanying the policy. The Policy Director shall consider all employee feedback prior to preparing the final draft of the policy.
3. When consideration by the Policy Review Team is warranted, the Policy Director shall schedule a meeting following the five-day employee review period. Policy Review Team meetings are open to all employees and posted to the agency calendar. During the meeting, the team may solicit input from individuals possessing any special knowledge or understanding of the policy issue. The Policy Director shall incorporate any team-approved revisions into the final policy.
4. Upon completion of all employee/team reviews, the Policy Director shall forward a final (paper) draft to the Director for review and approval (indicated by the Director's signature on the policy). The Policy Director shall modify the policy to include any additional changes requested by the Director.

E. POLICY AVAILABILITY

The signed, master copy of the policy shall be scanned into the electronic policy manual ([I:\DPOR Policy Manual](#)). The Policy Director shall notify employees of all policy additions, revisions and deletions via e-mail.

Attachment A

Director's Policy #100-01

Establishing and Revising Policies and Related Procedures



DIVISION NAME POLICY NO.###-##
POLICY NAME

Effective Date: (assigned by Policy Director)

Approved By: _____
Jay W. DeBoer

I. PURPOSE:

II. POLICY STATEMENT:

III. DEFINITIONS: [Term] [Definition]

IV. RELATED DOCUMENTS:

V. PROCEDURES:

A.

1.

2.

a)

b)

(1)

(2)

(a)

(b)

i)

ii)

B.